



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/636,042	08/07/2003	Steven A. Justiss	CROSS1560	9977
44654	7590	02/17/2006	EXAMINER	
SPRINKLE IP LAW GROUP 1301 W. 25TH STREET SUITE 408 AUSTIN, TX 78705			HEIN, GREGORY P	
			ART UNIT	PAPER NUMBER
			2188	
DATE MAILED: 02/17/2006				

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	<b>Application No.</b> 10/636,042	<b>Applicant(s)</b> JUSTISS ET AL.	
	<b>Examiner</b> Gregory P. Hein	<b>Art Unit</b> 2188	

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 1/23/2006.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1 - 23 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☐ Claim(s) 1 - 23 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 8/7/2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All    b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |                                                                                                                        |                                                                                         |
|------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)                                            | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____                                                |

**DETAILED ACTION**

***Response to Amendment***

1. The affidavit filed on 1/23/2006 under 37 CFR 1.131 has been considered but is ineffective to overcome the Hattrup reference. The filed affidavit does not include signatures from all inventors or include records indicating an inability to obtain absent signatures.
2. Applicants amendments and arguments filed on 1/23/2006 in response to the office action mailed on 10/21/2005 have been fully considered, but they are not persuasive. Therefore, the rejections made in the previous office action are maintained, and restated below, with changes as needed to address the amendments.

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

3. Claims 1 – 10 and 23 are rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Pre-Grant Publication 2004/0243736 Hattrup et al. in further in view of U.S. Patent 6,892,199 Hong et al.

As per claim 1:

Hattrup discloses storage onto a sequential storage device by a third party /device (Hattrup ¶73 lines 1 - 4) over a Storage Area Network (SAN) (Hattrup ¶72 lines 5 – 8).

While Hattrup acknowledges the potential to increase the number of source devices (Hattrup ¶63 lines 5 - 9), Hattrup does not explicitly teach a multi-threaded approach to data storage or creating a log to store stored data information.

Hong teaches sorting the data from a plurality of clients into a single data stream for storage (Hong Col. 8 lines 22 - 27) and creating an index of information equivalent to applicant's log on the storage device (Hong Col. 3 lines 15 - 21).

Hong and Hattrup are analogous art because both aim to improve storage backup methodologies. Hattrup acknowledges and discloses apparatus for multiple data sources. Hong discloses a method for efficient multi-threaded storage. Together they form a method for efficient multi-threaded storage onto a single sequential storage device and provide means for retrieval via an index. Hence, it would have been obvious to one of ordinary skill in the art at the time of the invention to combine Hong with Hattrup, for the advantages cited above.

As per claim 2:

Hattrup teaches inserting metadata into the data stream (Abstract). Hattrup also teaches metadata containing data offset information (Hattrup ¶87 lines 3 – 5).

Counting preceding data is inherent in this type of memory access for sequential storage devices due to the linear nature of accessing their memory locations.

As per claim 3:

Storing the data onto a storage device is only useful if the data is to be later recovered. It would be obvious to one of ordinary skill in the art that data retrieval is inherent in a data write since data is stored for later retrieval.

As per claim 4:

Hattrup teaches inserting metadata that precedes data (Hattrup Abstract). This metadata can include unique identifying information dependent on the data constituting a file mark including "... size information, error-checking information, a description for the data, a unique identifier for the data, a timestamp and the like" (Hattrup ¶59). Hattrup also teaches accessing data via memory offsets (Hattrup ¶15 lines 12 – 13). It is inherent in memory offset access that preceding data must be counted due to the linear nature of a sequential storage device.

As per claim 5, it is similar to claim 3 and rejected with the same rationale.

As per claim 6:

Hattrup teaches using a sequential storage device for the database storage medium (Hattrup ¶73 lines 1 - 4) and storing metadata onto the storage medium (Hattrup Abstract).

While the metadata is independent Hattrup does not disclose storing the metadata separately from the data.

Hong teaches storing an index onto the database wherein the data is stored. (Hong Col. 6 lines 44 – 49 and Col. 8 lines 22 - 27).

It would have been obvious to one of ordinary skill in the art to combine Hattrup and Hong for the reasons given in the rejection of claim 1.

As per claim 7:

Hattrup teaches loading autonomous instructions into a third party device for data backup onto a sequential storage device. As part of the instructions Hattrup discloses including the Logical Unit Number of the source (Hattrup ¶24 lines 12 - 16). Hattrup discloses allowing multiple sources (Hattrup ¶63 lines 5 - 9) and discloses the data manager connected to the source and destination via a SAN (Hattrup ¶70 lines 4 - 5).

Hattrup does not explicitly disclose storing the LUN of the data source, however, it would have been obvious to one of ordinary skill at the time of the invention to store the LUN source with the corresponding data log entry since including the LUN with the data log entry allows the data manager to properly restore data to its source storage device when multiple sources exist.

As per claim 8:

Hattrup does not teach identifying each thread by a corresponding device identifier.

Hong teaches associating the FIFO queues with a client (Hong Col. 6 lines 64 – Col. 7 line 1).

This requires associating a thread with a particular device thus giving each thread a device identifier. It would have been obvious to one of ordinary skill in the art at the time of the invention to combine this feature of Hong with Hattrup, since associating the FIFO queues with a particular storage device allows for efficient multi-threaded storage.

As per claim 9:

Art Unit: 2188

Hong teaches storing an index onto the database wherein the data is stored.

(Hong Col. 6 lines 44 – 49).

As per claim 10:

Hong teaches a configuration module to provide the SMSM and the index builder with the directory path to the index (Hong Col. 3 lines 18 – 26). Providing a directory path to the index allows for storage on medium separate from the data backup device.

As per claim 23:

Claim 23 is functionally equivalent to claim 1 and hence is rejected with the same rationale. As per a software product, Hattrup teaches generating autonomous instructions (Abstract). These instructions must be stored onto a computer readable medium and must be executed by a third party requiring a data processor

Claims 11 – 22 are rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent 6,892,199 Hong and further in view of U.S. Pre-Grant publication 2004/0243736 Hattrup.

As per claim 11:

Hong teaches merging data from several threads into a single data stream in a semi-sort merge fashion (Hong Col. 8 lines 22 – 27). Hong also teaches creating an index with information about the data stored onto the storage device (Hong Col. 6 lines 44 – 49).

Hong does not teach using a sequential storage device as the backup medium.

Hattrup uses a sequential storage device for the backup medium (Hattrup ¶72).

Additionally, Hattrup acknowledges using multiple data sources though not specifically

Art Unit: 2188

as in multiple threads (Hattrup ¶63 lines 5 – 9). It would have been obvious to one of ordinary skill in the art at the time of the invention to combine Hong and Hattrup since they both seek to improve storage backup techniques. Also, Hong provides a specific methodology to accomplish multi-threaded backup while Hattrup discloses the hardware means to accomplish this.

As per claim 12:

Hong discloses writing the index upon signaling of completion of a write command. (Hong Col 7 lines 8 - 10). Hong creates index entries corresponding to the write commands.

As per claim 13:

Hong teaches storing the index to a storage device wherein the data is located (Hong Col. 6 lines 44 – 49).

As per claim 14:

Hong teaches providing a configuration module to “...specify a directory path for the data files and the index fiels, and to provide the directory path to the SMSM and to the index builder...” (Hong Col. 3 lines 18 – 21).

As per claim 15:

Hattrup discloses using an offset (Hattrup ¶87 lines 4 - 5), starting at a location, to index to a particular location. Because of the purely linear access of sequential storage devices it is inherent that an index must be used to identify information and index to the corresponding location.

As per claim 16:



Hong teaches a semi-sort merge from a multi-threaded storage arrangement. A Semi-Merge Sort Module, a copy manager, manages the merge process. Hong also teaches a memory system, FIFO queues, having data to be stored onto the sequential storage device (Hong Col. 8 lines 22 - 27).

Hong does not teach a sequential storage backup device. Hong also does not teach a specific method of retrieval such as indexing to the storage device.

Hattrup teaches a sequential storage device used as the storage medium (Hattrup ¶199). Hattrup discloses including an offset with a marker as part of stored data identification. The copy manager taught by Hattrup (Hattrup ¶153) will count memory locations equal to the offset to arrive at the identified data (Hattrup ¶187). This involved indexing to a location corresponding to identified data and does not involve reading all the preceding data.

Both Hong and Hattrup aim to improve storage backup methodologies. Additionally, Hattrup's structural setup allows for multiple sources (Hattrup ¶63 lines 5 – 9). It would have been obvious to one of ordinary skill in the art at the time of the invention to combine Hong with Hattrup since both references teach more efficient storage backup. Hattrup acknowledges multiple data sources while Hong provides a specific method for handling a multi-threaded scenario.

As per claim 17:

Hong discloses FIFO queues coupled to the SMSM, which holds the burst data sent by the data sources. This data is then merged by the SMSM and stored in the storage device (Hong Col. 5 lines 50 - 64).

Art Unit: 2188

As per claim 18:

Hattrup discloses that the formatting for commands issued to the copy manager is in accordance with third party copy commands (Hattrup ¶29 lines 7 – 10).

As per claim 19:

Hong discloses a system with multiple clients (Hong Col. 9 lines 15 - 18). The clients disclosed are functionally equivalent to the hosts in claim 19.

As per claim 20:

Hattrup discloses a plurality of sources being connected as data sources (Hattrup ¶63 lines 5 – 9)

As per claim 21:

Hattrup discloses the data mover coupled to a SAN (Hattrup Fig. 1 and ¶8).

As per claim 22:

Hattrup discloses the data mover attached to a SAN, a variant of Network Attached Storage (Hattrup ¶72 lines 5 - 8).

### ***Response to Arguments***

4. Applicant's arguments filed 1/23/2006 have been fully considered but they are not persuasive. Applicant's argument that examiner has failed to established a prima facie case of obviousness is not sufficient since applicant does not specifically point to the deficiencies causing failure to establish a prima facie case of obviousness.

5. With respect to applicant's arguments to traverse rejections as Hong applies, Hong teaches that the data is sorted and accessed by keys. Hong also teaches that the

Art Unit: 2188

keys can include "...a Service Description ID, or other ID, which can include any form of identification number that can identify a record" Col. 5 lines 16 – 19. Hong allows for the use of a multitude of identification types when accessing the data on the storage medium. Additionally, applicant does not sufficiently limit the scope of the accessing method to patentably differentiate the instant application from Hong. In the specification, ¶45 sets forth the necessary support for accessing information using strictly source identifiers, however the difference between conventional indexing and the claimed logging method is not adequately presented to traverse Hong.

### ***Conclusion***

6. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the mailing date of this final action.

Art Unit: 2188

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Gregory P. Hein whose telephone number is 571-272-4180. The examiner can normally be reached on M-F 8-4:30.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Mano Padmanabhan can be reached on 571-272-4210. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Gregory Hein  
2/9/2006

*Mano Padmanabhan*  
2/13/06

**MANO PADMANABHAN**  
**SUPERVISORY PATENT EXAMINER**